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PTO/SB/05 (11-00)

Approved through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 103140-0014U

First Inventor Andrew Sutherland et al.

Title PEER-TO-PEER ENTERPRISE STORAGE

Express Mail Label No. EL705610776US

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 35]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
5. Oath or Declaration [Total Pages]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

## ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: \_\_\_\_\_ /

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

|         |  |           |                |          |                |
|---------|--|-----------|----------------|----------|----------------|
| Name    | Patricia A. Sheehan                          |           |                |          |                |
| Address | Cesari and McKenna<br>88 Black Falcon Avenue |           |                |          |                |
| City    | Boston                                       | State     | MA             | Zip Code | 02210          |
| Country | U. S. A.                                     | Telephone | (617) 951-2500 | Fax      | (617) 951-3927 |

|                   |                     |                                   |                   |
|-------------------|---------------------|-----------------------------------|-------------------|
| Name (Print/Type) | Patricia A. Sheehan | Registration No. (Attorney/Agent) | 32,301            |
| Signature         | Patricia A. Sheehan | Date                              | February 14, 2002 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

|                      |                          |
|----------------------|--------------------------|
| Application Number   | not yet assigned         |
| Filing Date          | February 14, 2002        |
| First Named Inventor | Andrew Sutherland et al. |
| Examiner Name        | not yet assigned         |
| Group Art Unit       | not yet assigned         |
| Attorney Docket No.  | 103140-00140             |

TOTAL AMOUNT OF PAYMENT (\$) 514

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number: 03-1237
- Deposit Account Name: Cesari and McKenna, LLP
- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 105      | 130      | 205      | 65       | Fee Surcharge - late filing fee or oath                                    |          |
| 127      | 50       | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139      | 130      | 139      | 130      | Non-English Specification  |          |
| 147      | 2,520    | 147      | 2,520    | For filing a request for ex parte reexamination                            |          |
| 112      | 920      | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113      | 1,840    | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115      | 110      | 215      | 55       | Extension for reply within first month                                     |          |
| 116      | 400      | 216      | 200      | Extension for reply within second month                                    |          |
| 117      | 920      | 217      | 460      | Extension for reply within third month                                     |          |
| 118      | 1,440    | 218      | 720      | Extension for reply within fourth month                                    |          |
| 128      | 1,960    | 128      | 980      | Extension for reply within fifth month                                     |          |
| 119      | 320      | 219      | 160      | Notice of Appeal   |          |
| 120      | 320      | 220      | 160      | Filing a brief in support of an appeal                                     |          |
| 121      | 280      | 221      | 140      | Request for oral hearing   |          |
| 138      | 1,510    | 138      | 1,510    | Petition to institute a public use proceeding                              |          |
| 140      | 110      | 240      | 55       | Petition to revive - unavoidable   |          |
| 141      | 1,280    | 241      | 640      | Petition to revive - unintentional   |          |
| 142      | 1,280    | 242      | 640      | Utility Issue fee (or reissue)   |          |
| 143      | 460      | 243      | 230      | Design Issue fee   |          |
| 144      | 620      | 244      | 310      | Plant Issue fee  |          |
| 122      | 130      | 122      | 130      | Petitions to the Commissioner  |          |
| 123      | 50       | 123      | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 126      | 180      | 126      | 180      | Submission of Information Disclosure Stmt                                  |          |
| 581      | 40       | 581      | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146      | 740      | 246      | 370      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 149      | 740      | 249      | 370      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 179      | 740      | 279      | 370      | Request for Continued Examination (RCE)                                    |          |
| 169      | 900      | 169      | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101                   | 740                   | 201                   | 370                   | Utility filing fee     | 370      |
| 106                   | 330                   | 206                   | 165                   | Design filing fee      |          |
| 107                   | 510                   | 207                   | 255                   | Plant filing fee       |          |
| 108                   | 740                   | 208                   | 370                   | Reissue filing fee     |          |
| 114                   | 160                   | 214                   | 80                    | Provisional filing fee |          |
| SUBTOTAL (1) (\$)     |                       |                       |                       |                        | 370      |

### 2. EXTRA CLAIM FEES

| Total Claims          | Independent Claims    | Multiple Dependent    | Extra Claims          | Fee from below  | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|---|----------|
| 36                    | 2                     |                       | 16                    | 9   | 144      |
|                       |                       |                       | 0                     | 42  | 0        |
|                       |                       |                       |                       |   | 0        |
| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description   | Fee Paid |
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                    |          |
| 102                   | 84                    | 202                   | 42                    | Independent claims in excess of 3                         |          |
| 104                   | 280                   | 204                   | 140                   | Multiple dependent claim, if not paid                     |          |
| 109                   | 84                    | 209                   | 42                    | **Reissue independent claims over original patent         |          |
| 110                   | 18                    | 210                   | 9                     | **Reissue claims in excess of 20 and over original patent |          |
| SUBTOTAL (2) (\$)     |                       |                       |                       |   | 144      |

\*\*or number previously paid, if greater; For Reissues, see below

## SUBMITTED BY

## Complete (if applicable)

|                   |                     |                                   |                   |           |                |
|-------------------|---------------------|-----------------------------------|-------------------|-----------|----------------|
| Name (Print/Type) | Patricia A. Sheehan | Registration No. (Attorney/Agent) | 32,301            | Telephone | (617) 951-2500 |
| Signature         | Patricia A. Sheehan | Date                              | February 14, 2002 |           |                |

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:  
Andrew Sutherland et al.

Serial No.: not yet assigned

Filed: February 14, 2002

For: PEER-TO-PEER ENTERPRISE  
STORAGE

Examiner: not yet assigned

Art Unit: not yet assigned

Cesari and McKenna, LLP  
88 Black Falcon Avenue  
Boston, MA 02210  
February 14, 2002

**EXPRESS-MAIL DEPOSIT**

“Express Mail” Mailing-Label Number: EL705610776US

The following papers are being deposited with the United States Postal Service  
“Express Mail Post Office to Addressee” service pursuant to 37 C.F.R. §1.10:

X Patent Application ( pages including claims )

X Fee Transmittal Letter

X Utility Patent Application Transmittal  
Letter

X Assignment With Recordation Form

X Informal Drawing ( 9 sheets )

Cover Sheet

X Check No. 23738 for \$592